



JCOS Rec'd PCT/PW 04 AUG 2005

Attorney Docket No. 62940 (70904)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

APPLICANT(S) Nakabayashi, et al. EXAMINER: Not assigned

U.S.S.N.: 10/525,901 ART UNIT: 2811

FILED: February 24, 2005 CONF. NO. 9196

FOR: Pattern formation substrate and method for pattern formation

**CERTIFICATE OF MAILING**

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service with sufficient postage as First Class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on August 1, 2005.

By: *Helen Murray Tarbi*  
Helen Murray Tarbi

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

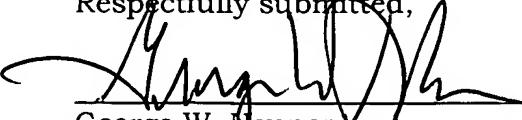
**TRANSMITTAL**

Enclosed herewith for filing in the subject application are the following:

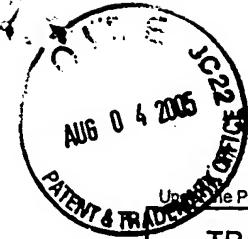
1. Copy of Filing Receipt with corrections marked in red;
2. Copy of Certificate of Express Mailing;
3. Copy of Express Mailing Label with USPTO stamped receipt;
4. Copy of Transmittal Letter; and
5. Copy of Fee Transmittal.

Date: August 1, 2005

Respectfully submitted,

  
George W. Neuner  
(Reg. No. 26,964)  
EDWARDS & ANGELL, LLP  
P.O. Box 55874  
Boston, MA 02205

Telephone: 617-439-4444  
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PTO-1390 (Rev. 12-2004)

Approved for use through 03/31/2007. OMB 0651-0021

U. S. Patent and Trademark Office; U. S. DEPARTMENT OF COMMERCE

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**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371**

ATTORNEY'S DOCKET NUMBER:  
62940(70904)

U.S. APPLICATION NO. 11/174,327 CED 151

INTERNATIONAL APPLICATION NO.	INTERNATIONAL FILING DATE	PRIORITY DATE CLAIMED
PCT/JP03/07170	5 June 2003	30 August 2002

TITLE OF INVENTION		PATTERN FORMATION SUBSTRATE AND METHOD FOR PATTERN FORMATION
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APPLICANT(S) FOR DO/EO/US		Takaya Nakabayashi et al.
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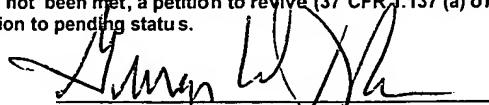
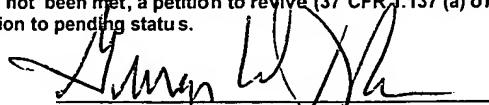
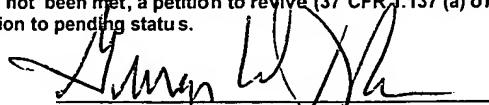
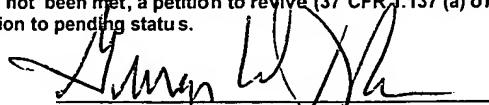
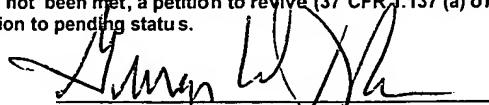
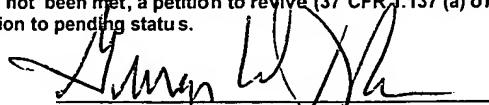
Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

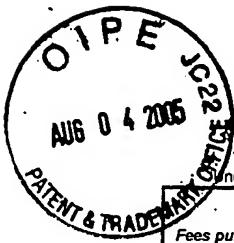
1.  This is a FIRST submission of items concerning a submission under 35 U.S.C. 371.
2.  This is a SECOND or SUBSEQUENT submission of items concerning a submission under 35 U.S.C. 371.
3.  This is an express request to begin national examination procedures (35 U.S.C. 371 (f)). The submission must include items (5), (6), (9) and (21) indicated below.
4.  The US has been elected (Article 31).
5.  A copy of the International Application as filed (35 U.S.C. 371 (c)(2))
  - a.  is attached hereto (required only if not communicated by the International Bureau).
  - b.  has been communicated by the International Bureau.
  - c.  is not required, as the application was filed in the United States Receiving Office (RO/US).
6.  An English language translation of the International Application as filed (35 U.S.C. 371 (c)(2))
  - a.  is attached hereto.
  - b.  has been previously submitted under 35 U.S.C. 154(d)(4).
7.  Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371 (c)(3))
  - a.  are attached hereto (required only if not communicated by the International Bureau).
  - b.  have been communicated by the International Bureau.
  - c.  have not been made; however, the time limit for making such amendments has NOT expired.
  - d.  have not been made and will not be made.
8.  An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9.  An oath or declaration of the inventor(s) (35 U.S.C. 371 (c)(4)).
10.  An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371 (c)(5)).

**Items 11 to 20 below concern document(s) or information included:**

11.  An Information Disclosure Statement under 37 CFR 1.97 and 1.98.
12.  An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included.
13.  A preliminary amendment.
14.  An Application Data Sheet under 37 CFR 1.76.
15.  A substitute specification.
16.  A power of attorney and/or change of address letter.
17.  A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 CFR 1.821 - 1.825.
18.  A second copy of the published International Application under 35 U.S.C. 154(d)(4).
19.  A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).
20.  Other items or information: Return Receipt Postcard

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

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The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property						<b>TOTAL FEES ENCLOSED = \$ 1,400.00</b>						<table border="1"> <tr> <td>Amount to be refunded:</td> <td></td> <td>\$</td> </tr> <tr> <td>Amount to be charged:</td> <td></td> <td>\$</td> </tr> </table>						Amount to be refunded:		\$	Amount to be charged:		\$	a. <input type="checkbox"/> A check in the amount of \$ _____ to cover the above fees is enclosed.						b. <input checked="" type="checkbox"/> Please charge my Deposit Account No. 04-1105 in the amount of \$ 1,400.00 to cover the above fees. A duplicate copy of this sheet is enclosed.						c. <input checked="" type="checkbox"/> The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 04-1105. A duplicate copy of this sheet is enclosed.						d. <input type="checkbox"/> Fees are to be charged to a credit card. <b>WARNING:</b> Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.						NOTE: Where an appropriate time limit under 37 CFR 1.495 has not been met, a petition to revive (37 CFR 1.137 (a) or (b)) must be filed and granted to restore the International Application to pending status.						SEND ALL CORRESPONDENCE TO:						George W. Neuner EDWARDS & ANGELL, LLP P.O. Box 55874 Boston, Massachusetts 02205 (617) 439-4444						CUSTOMER NUMBER: 21874						 SIGNATURE: _____ NAME: George W. Neuner _____ REGISTRATION NUMBER: 26,964																																																													
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Effective on 12/08/2004.  
Fees pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).

## FEE TRANSMITTAL For FY 2005

Applicant claims small entity status. See 37 CFR 1.27

**TOTAL AMOUNT OF PAYMENT** (\$ 1,400.00)

### Complete if Known

Application Number	Not Yet Assigned
Filing Date	Concurrently Herewith
First Named Inventor	Takaya Nakabayashi
Examiner Name	Not Yet Assigned
Art Unit	N/A

Attorney Docket No. 62940(70904)

### METHOD OF PAYMENT (check all that apply)

<input type="checkbox"/> Check	<input type="checkbox"/> Credit Card	<input type="checkbox"/> Money Order	<input type="checkbox"/> None	<input type="checkbox"/> Other (please identify): _____
<input checked="" type="checkbox"/> Deposit Account	Deposit Account Number: 04-1105	Deposit Account Name: Edwards & Angell, LLP		
For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)				
<input type="checkbox"/> Charge fee(s) indicated below			<input type="checkbox"/> Charge fee(s) indicated below, except for the filing fee	
<input type="checkbox"/> Charge any additional fee(s) or underpayment of fee(s) under 37 CFR 1.16 and 1.17			<input checked="" type="checkbox"/> Credit any overpayments	

### FEE CALCULATION

#### 1. BASIC FILING, SEARCH, AND EXAMINATION FEES

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		
	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fee (\$)	Small Entity Fee (\$)	Fees Paid (\$)
Utility	300	150	500	250	200	100	
Design	200	100	100	50	130	65	
Plant	200	100	300	150	160	80	
Reissue	300	150	500	250	600	300	
Provisional	200	100	0	0	0	0	

#### 2. EXCESS CLAIM FEES

##### Fee Description

Fee Description	Small Entity Fee (\$)	Fee (\$)
Each claim over 20 (including Reissues)	50	25
Each independent claim over 3 (including Reissues)	200	100
Multiple dependent claims	360	180

Total Claims    Extra Claims    Fee (\$)    Fee Paid (\$)

11 - 20 = \_\_\_\_\_ x \_\_\_\_\_ = \_\_\_\_\_

##### Multiple Dependent Claims

Fee (\$)    Fee Paid (\$)

Indep. Claims    Extra Claims    Fee (\$)    Fee Paid (\$)

1 - 3 = \_\_\_\_\_ x \_\_\_\_\_ = \_\_\_\_\_

#### 3. APPLICATION SIZE FEE

If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

<u>Total Sheets</u>	<u>Extra Sheets</u>	<u>Number of each additional 50 or fraction thereof</u>	<u>Fee (\$)</u>	<u>Fee Paid (\$)</u>
47	- 100 =	/50 (round up to a whole number) x	=	

#### 4. OTHER FEE(S)

Non-English Specification, \$130 fee (no small entity discount)

Other (e.g., late filing surcharge):	1631 Basic National Stage fee	300.00
	1632 National Stage search fee	500.00
	1633 National Stage examination fee	200.00
	8021 National Stage recording each patent assignment, ...	40.00
	1616 National Stage claims - multiple dependent	360.00

#### SUBMITTED BY

Signature	Registration No. (Attorney/Agent)	26,964	Telephone	(617) 439-4444
Name (Print/Type)	Geboge W. Neuner		Date	February 24, 2005



Docket No. 62940 (70904)

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

APPLICANT: Nakabayashi, et al. EXAMINER: Not assigned  
U.S.S.N. 10/525,901 ART UNIT: 2811  
FILED: February 24, 2005 CONF. NO. 9196  
FOR: Pattern formation substrate and method for pattern formation

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**CERTIFICATE OF MAILING**

I hereby certify that this paper (along with any paper referred to as being attached or enclosed) is being deposited with the United States Postal Service with sufficient postage as First Class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on August 1, 2005.

By: *Helen Murray Tarbi*  
Helen Murray Tarbi

**REQUEST FOR CORRECTED FILING RECEIPT**

1. There is an error with respect to the following data, which is:

incorrectly entered

*and/or*

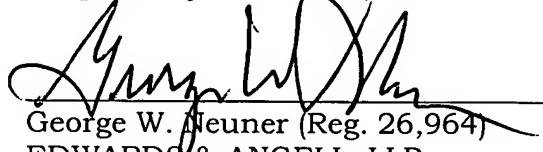
omitted.

<b>Error in</b>		<b>Correct data</b>
1. <input type="checkbox"/>	Applicant's name	1.
2. <input type="checkbox"/>	Applicant's address	2.
3. <input checked="" type="checkbox"/>	Title	3. <b>pattern formation substrate and method for pattern formation</b>
4. <input checked="" type="checkbox"/>	Filing Date	4. <b>February 24, 2005</b>
5. <input type="checkbox"/>	Application Number	5.
6. <input type="checkbox"/>	Priority Data	6.

2. *(complete the following applicable item)*

A.  The correction(s) is/are not due to any error by applicant.

Respectfully Submitted,



George W. Neuner (Reg. 26,964)  
EDWARDS & ANGELL, LLP  
P.O. Box 55874  
Boston, MA 02205  
(617) 439-4444

Customer No.: 21874

BOS2\_501677.1

DGC 6WN  
62940 (70904)



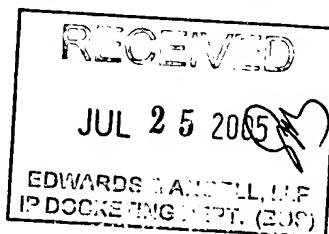
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APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY.DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/525,901	02/25/2005	2811	1260	62940(70904)	18	8	1

2/24/05

21874  
EDWARDS & ANGELL, LLP  
P.O. BOX 55874  
BOSTON, MA 02205



CONFIRMATION NO. 9196

FILING RECEIPT



\*OC000000016528224\*

Date Mailed: 07/18/2005

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

Applicant(s)

Takaya Nakabayashi, Ayama-gun, JAPAN;  
Akiyoshi Fujii, Nara-shi, JAPAN;

NOTED ON SYSTEM

Power of Attorney: The patent practitioners associated with Customer Number 21874.

Domestic Priority data as claimed by applicant

This application is a 371 of PCT/JP03/07170 06/05/2003

Foreign Applications

Projected Publication Date: 10/20/2005

Non-Publication Request: No

Early Publication Request: No

Title

Pattern formation substrate and method of pattern formation

FOR

Preliminary Class

Corrected Filing Receipt  
Edwards & Angell LLP  
101 Federal St. Boston, MA 02110  
Docketed For 62940-317105  
By SB/SL  
Approved

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Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

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6 TRADE Application No. (if known): Not Yet Assigned

Attorney Docket No.: 62940(70904)

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English language translation of the International application  
Oath or declaration of the inventor(s)  
Information Disclosure Statement  
Assignment document for recording  
Transmittal Letter to the United States Designated-Elected Office (2 pages)  
Charge \$1,400.00 to deposit account 04-1105



Atty Docket No.: 62940(70904)

Inventor: Takaya Nakabayashi et al.

Application No.: Not Yet Assigned  
Title: PATTERN FORMATION SUBSTRATE AND METHOD FOR PATTERN FORMATION

Documents Filed:

Fee Transmittal (1 page)

Charge \$1,400.00 to deposit account 04-1105

English language translation of the International application

Oath or declaration of the inventor(s)

Information Disclosure Statement

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